

020504  
U.S.PTO

05909

PTO/SB/05 (08-03)

Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 120 06799 US

First Inventor Joseph Z. Lu

Title APPARATUS AND METHOD FOR MODELING RELATIONSHIPS BETWEEN SIGNALS

Express Mail Label No. EL 972876556 US

10/17/2004  
10/17/2004

020504

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:**Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

- Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- Applicant claims small entity status.  
See 37 CFR 1.27.
- Specification [Total Pages 56]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- Drawing(s) (35 U.S.C. 113) [Total Sheets 10]
- Oath or Declaration [Total Sheets ]  
 a.  Newly executed (original or copy)
- Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
  - i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting Inventor(s) name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- Application Data Sheet. See 37 CFR 1.76

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b. **Specification Sequence Listing on:**
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  Paper
  - c.  Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9.  Assignment Papers (cover sheet & document(s))
10.  37 CFR 3.73(b) Statement  Power of (when there is an assignee)  Attorney
11.  English Translation Document (if applicable)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15.  Certified Copy of Priority Document(s) (If foreign priority is claimed)
16.  Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17.  Other: Certificate of Mailing by Express Mail

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation       Divisional       Continuation-in-part (CIP)      of prior application No.: .....

Prior application information: Examiner \_\_\_\_\_ Art Unit: \_\_\_\_\_  
 For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**
 Customer Number: 000128      OR       Correspondence address below

|         |           |          |  |
|---------|-----------|----------|--|
| Name    |           |          |  |
| Address |           |          |  |
| City    | State     | Zip Code |  |
| Country | Telephone | Fax      |  |

|                   |                  |                                   |        |
|-------------------|------------------|-----------------------------------|--------|
| Name (Print/Type) | Anthony Minlogos | Registration No. (Attorney/Agent) | 29,677 |
| Signature         |                  |                                   |        |
| Date              | February 5, 2004 |                                   |        |

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.  
 If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

PTO/SB/17 (10-03)

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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 896.00)

## Complete If Known

|                      |                    |
|----------------------|--------------------|
| Application Number   | New US Application |
| Filing Date          | February 5, 2004   |
| First Named Inventor | Joseph Z. Lu       |
| Examiner Name        | unknown            |
| Art Unit             | unknown            |
| Attorney Docket No.  | I20 06799 US       |

## METHOD OF PAYMENT (check all that apply)

 Check  Credit card  Money Order  Other  None Deposit Account:

|                        |                              |
|------------------------|------------------------------|
| Deposit Account Number | 01-1125                      |
| Deposit Account Name   | Honeywell International Inc. |

The Director is authorized to: (check all that apply)

- Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) or any underpayment of fee(s)  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

## 1. BASIC FILING FEE

| Large Entity        | Small Entity | Fee Code (\$)      | Fee Code (\$) | Fee Description        | Fee Paid |
|---------------------|--------------|--------------------|---------------|------------------------|----------|
| 1001                | 2001         | 770                | 385           | Utility filing fee     | 770      |
| 1002                | 2002         | 340                | 170           | Design filing fee      |          |
| 1003                | 2003         | 530                | 265           | Plant filing fee       |          |
| 1004                | 2004         | 770                | 385           | Reissue filing fee     |          |
| 1005                | 2005         | 160                | 80            | Provisional filing fee |          |
| <b>SUBTOTAL (1)</b> |              | <b>(\$ 770.00)</b> |               |                        |          |

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims | Independent Claims | Multiple Dependent | Extra Claims | Fee from below | Fee Paid |
|--------------|--------------------|--------------------|--------------|----------------|----------|
| 27           | 3                  |                    | -20** = 7    | X 18           | = 126    |
|              |                    |                    | -3** = 0     | X 86           | = 0      |
|              |                    |                    |              |                |          |

| Large Entity        | Small Entity | Fee Code (\$)      | Fee Code (\$) | Fee Description   |
|---------------------|--------------|--------------------|---------------|---|
| 1202                | 18           | 2202               | 9             | Claims in excess of 20                                      |
| 1201                | 86           | 2201               | 43            | Independent claims in excess of 3                           |
| 1203                | 290          | 2203               | 145           | Multiple dependent claim, if not paid                       |
| 1204                | 86           | 2204               | 43            | ** Reissue independent claims over original patent          |
| 1205                | 18           | 2205               | 9             | ** Reissues claims in excess of 20 and over original patent |
| <b>SUBTOTAL (2)</b> |              | <b>(\$ 126.00)</b> |               |   |

\*\* or number previously paid, if greater. For Reissues, see above

## 3. ADDITIONAL FEES

Large Entity Small Entity

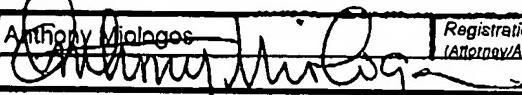
| Fee Code (\$) | Fee Code (\$) | Fee Description  | Fee Paid |
|---------------|---------------|--|----------|
| 1051          | 130           | 2051 65 Surcharge - late filing fee or oath  |          |
| 1052          | 50            | 2052 25 Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053          | 130           | 1053 130 Non-English specification   |          |
| 1812          | 2,520         | 1812 2,520 For filing a request for ex parte reexamination                         |          |
| 1804          | 920*          | 1804 920* Requesting publication of SIR prior to Examiner action                   |          |
| 1805          | 1,840*        | 1805 1,840* Requesting publication of SIR after Examiner action                    |          |
| 1251          | 110           | 2251 55 Extension for reply within first month                                     |          |
| 1252          | 420           | 2252 210 Extension for reply within second month                                   |          |
| 1253          | 950           | 2253 475 Extension for reply within third month                                    |          |
| 1254          | 1,480         | 2254 740 Extension for reply within fourth month                                   |          |
| 1255          | 2,010         | 2255 1,005 Extension for reply within fifth month                                  |          |
| 1401          | 330           | 2401 165 Notice of Appeal  |          |
| 1402          | 330           | 2402 165 Filing a brief in support of an appeal                                    |          |
| 1403          | 290           | 2403 145 Request for oral hearing  |          |
| 1451          | 1,510         | 1451 1,510 Petition to institute a public use proceeding                           |          |
| 1452          | 110           | 2452 65 Petition to revive - unavoidable   |          |
| 1453          | 1,330         | 2453 665 Petition to revive - unintentional  |          |
| 1501          | 1,330         | 2501 665 Utility issue fee (or reissue)  |          |
| 1502          | 480           | 2502 240 Design issue fee  |          |
| 1503          | 640           | 2503 320 Plant issue fee   |          |
| 1460          | 130           | 1460 130 Petitions to the Commissioner   |          |
| 1807          | 50            | 1807 50 Processing fee under 37 CFR 1.17(q)  |          |
| 1806          | 180           | 1806 180 Submission of Information Disclosure Stmt                                 |          |
| 8021          | 40            | 8021 40 Recording each patent assignment per property (times number of properties) |          |
| 1809          | 770           | 2809 385 Filing a submission after final rejection (37 CFR 1.129(a))               |          |
| 1810          | 770           | 2810 385 For each additional invention to be examined (37 CFR 1.129(b))            |          |
| 1801          | 770           | 2801 385 Request for Continued Examination (RCE)                                   |          |
| 1802          | 900           | 1802 900 Request for expedited examination of a design application                 |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$ 0.00)**

## SUBMITTED BY

|                   |   |                                   |        |           |              |
|-------------------|---|-----------------------------------|--------|-----------|--------------|
| Name (Print/Type) | Anthony M. Villegas   | Registration No. (Attorney/Agent) | 29,677 | Telephone | 602.313.5683 |
| Signature         |  |                                   |        |           |              |
|                   | Date  | February 5, 2004                  |        |           |              |

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**DOCKET NO.: I20 06799 US**  
**CLIENT NO.: HWEL01-06799**  
**Customer No.: 000128**

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: **Joseph Z. Lu**

For: **APPARATUS AND METHOD FOR MODELING  
RELATIONSHIPS BETWEEN SIGNALS**

**MAIL STOP PATENT APPLICATION**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**CERTIFICATE OF MAILING BY POST OFFICE EXPRESS MAIL**

The undersigned hereby certifies that the following documents:

- 1) Patent Application (56 pages);
- 2) Informal Drawings (10 sheets);
- 3) Transmittal Letter (in duplicate);
- 4) Fee Transmittal for FY 2004 (in duplicate); and
- 5) Postcard receipt;

relating to the above application were deposited as "Express Mail", Mailing Label No. EL972876556US with the United States Postal Service, addressed to MAIL STOP PATENT APPLICATION, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on February 5, 2004.

Date: Feb 5, 2004

Kathy Hamilton  
Mailer

Legal Department Docket Clerk  
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